

02

CKET NO.: UPN-3832

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Mark I. Greene et al.

Serial No.: 09/627,775

Filing Date: July 28, 2000

Group Art Unit: Not yet assigned

Examiner: Not yet assigned

For: METHODS OF INHIBITING OSTEOCLASTOGENESIS

DATE OF DEPOSIT: 9/29/2000
I HEREBY CERTIFY THAT THIS PAPER IS BEING
DEPOSITED WITH THE UNITED STATES POSTAL
SERVICE AS FIRST CLASS MAIL, POSTAGE PREPAID ON
THE DATE INDICATED ABOVE AND IS ADDRESSED TO
THE ASSISTANT COMMISSIONER FOR PATENTS,
WASHINGTON, DC 20231.

Gwylm E. O. Attwell
REGISTRATION NO.: 45,449

Assistant Commissioner for Patents
Washington DC 20231

SUBMISSION OF VERIFIED STATEMENTS
TO ESTABLISH SMALL ENTITY STATUS

The attached statement is being submitted to establish Small Entity Status in this

- ☒ application
☐ patent

(check all applicable boxes below)

- ☐ Independent inventor(s) - 37 CFR 1.9(c) and 1.27(b)
☐ Non-inventor supporting claim by another - 37 CFR 1.9(c) and 1.27(b)

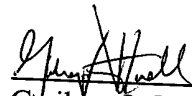
DOCKET NO.: UPN-3832

- 2 -

PATENT

- ☐ Small Business Concern - 37 CFR 1.9(d) and 1.27(c)
- ☒ Non-Profit Organization - 37 CFR 1.9(e) and 1.27(d)

Date: 9/29/2000


Gwilym J. O. Attwell
Registration No. 45,449

Woodcock Washburn Kurtz
Mackiewicz & Norris LLP
One Liberty Place - 46th Floor
Philadelphia PA 19103
Telephone: (215) 568-3100
Facsimile: (215) 568-3439

© 1997 WWKMN

Applicant or Patentee: Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron

Serial or Patent No.: 09/627,775

Attorney's Docket No.: UPN-3832

Date Filed or Issued: July 28, 2000

METHODS OF INHIBITING OSTEOCLASTOGENESIS

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION
ADDRESS OF ORGANIZATION

University of Pennsylvania
3700 Market Street, Suite 300
Philadelphia, PA 19104-3147

TYPE OF ORGANIZATION:

- ☒ **UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION**
- ☐ **TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))**
- ☐ **NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THE UNITED STATES OF AMERICA**
(NAME OF STATE ____)
(CITATION OF STATUTE ____)
- ☐ **WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA**
- ☐ **WOULD QUALIFY AS A NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA**
(NAME OF STATE ____)
(CITATION OF STATUTE ____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **METHODS OF INHIBITING OSTEOCLASTOGENESIS** by inventor(s) **Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron** described in

() the specification filed herewith.
(XX) application serial no. 09/627,775, filed July 28, 2000
() patent no. _____ issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

***NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)**

FULL NAME: Yale University
ADDRESS: 155 Whitney Avenue, Room 210
P.O. Box 208336
New Haven, CT 06520-8336


() INDIVIDUAL () SMALL BUSINESS CONCERN (X) NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE IN ORGANIZATION
ADDRESS OF PERSON SIGNING

Alfred J. Glessner
Director of Operations and Licensing


SIGNATURE

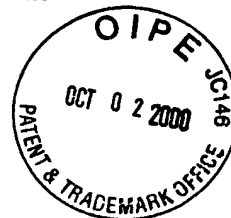
27 SEP 2000
DATE

Applicant or Patentee: Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron

Serial or Patent No.: 09/527,775

Attorney's Docket No.: UPN-3832

Date Filed or Issued: July 28, 2000



For: **METHODS OF INHIBITING OSTEOCLASTOGENESIS**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION
ADDRESS OF ORGANIZATION

Yale University
155 Whimsey Avenue, Room 210
P.O. Box 208336
New Haven, CT 06520-8336

TYPE OF ORGANIZATION:

- ☒ **UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION**
- ☐ **TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))**
- ☐ **NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THE UNITED STATES OF AMERICA**
(NAME OF STATE ____)
(CITATION OF STATUTE ____)
- ☐ **WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA**
- ☐ **WOULD QUALIFY AS A NONPROFIT SCIENTIFIC OR EDUCATIONAL ORGANIZATION QUALIFIED UNDER A NONPROFIT ORGANIZATION STATUTE OF A STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA**
(NAME OF STATE ____)
(CITATION OF STATUTE ____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled **METHODS OF INHIBITING OSTEOCLASTOGENESIS** by inventor(s) Mark I. Greene, Ramachandran Murali, Kazuhiro Aoki, William Carle Horne and Roland Baron described in

- () the specification filed herewith.
(XX) application serial no. 09/627,775, filed July 28, 2000
() patent no. _____, issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e)

***NOTE:** Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.
(37 CFR 1.27)

FULL NAME: University of Pennsylvania
ADDRESS: 3700 Market Street, Suite 300
Philadelphia, PA 19104-3147

() **INDIVIDUAL** () **SMALL BUSINESS CONCERN** (X) **NONPROFIT ORGANIZATION**

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate.
(37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING
TITLE IN ORGANIZATION
ADDRESS OF PERSON SIGNING

Kara McCarthy Casey, Esq.
Manager, Intellectual Property Affairs


SIGNATURE

9/12/00
DATE